

INFORMATION DISCLOSURE STATEMENT BY APPLICANT				Docket Number 01-1034		Application Number 10/047,607	
				Applicants Andrew Gilbert. Et. al.			
				Filing Date January 14, 2002		Group Art Unit 3691	
U.S. PATENT DOCUMENTS							
Examiner Initials	Cite No.	Document Number	Date	Name of Patentee	Class	Sub-Class	Filing Date
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		5,806,050	9/8/1998	Shinn et al.			
		5,970,479	10/19/1999	Shepherd			
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Examiner Initials	Cite No.	Foreign Patent Document	Date	Country	Class	Sub-Class	Translation
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		EP 1 100 030	5/15/2001	EPO			
		EP 0 399 850 A2	11/28/1990	EPO			
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NON PATENT LITERATURE DOCUMENTS							
Examiner Initials	Cite No.	Author, Title, date, pages, volume, publisher, city and/or country where published					
		Letter of Albert P. Moras and Exhibits Ia – IVb for “QV Trader” and “Bondpage.com”, April 4, 2002 , 16 pp.					
		Copy of Office Action mailed July 19, 2006, Application Serial No. 09/853,430, entitled “Systems and Method for Anonymous Electronic Trading”, Examiner Olabode Akintola, 12 pp.					
		USPTO Office Action for Application No. 11/562,719, February 12, 2008 (11 pages).					
		Pending U.S. Patent Application Serial No. 11/562,719, entitled “Processing of Orders in a Trading System Once Warning Limits are Exceeded”, filed November 22, 2006 in the name of Ginsberg et al.					
		USPTO Office Action for Application No. 11/562,674, February 14, 2008 (14 pages).					
		Pending U.S. Patent Application Serial No. 11/562,674, entitled “Processing of Trades That Exceed Warning Limits”, filed November 22, 2006 in the name of Ginsberg et al.					
		USPTO Office Action for Application No. 09/853,430, July 19, 2006 (8 pp).					
Examiner Signature	/Muriel Tinkler/ (12/17/2008)			Date Considered			

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Examiner Initials	Cite No.	Author, Title, date, pages, volume, publisher, city and/or country where published	
		USPTO Office Action for Application No. 09/853,430, December 18, 2006 (9 pp).	
		USPTO Office Action for Application No. 09/853,430, June 21, 2007 (8 pp).	
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		MoneyMatch, Functional Specification, Version 1, August 1990, The Sequor Group Inc. Software Services	
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		Assorted Documents from Bondpage (copyright 2001).	
		Pending U.S. Patent Application Serial No. 09/853,430, entitled "Systems and Methods for Anonymous Electronic Trading", filed May 10, 2001 in the name of Ginsberg et al.	
		PCT Search Report for International Application No.: PCT/US01/41525; 5 pages; 10/26/2001	
Examiner Signature	/Muriel Tinkler/ (12/17/2008)		Date Considered